

Title:

Subtitle

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## **Abstract**

## **1 Introduction**

The National Institute of Standards and Technology Artificial Intelligence (AI) Risk Management Framework (RMF).<sup>[1]</sup>

## **2 Generative AI Governance**

## **3 Generative AI Inventories**

## **4 Generative AI Risk Tiers**

## **5 Generative AI Risk Measurement**

## **6 Generative AI Risk Management**

## **Conclusion**

## **Acknowledgments**

Thank you to Bernie Siskin and Nick Schmidt of BLDS and Eric Sublett of Relman Colfax for formative discussions relating to GAI risk tiering.

## **Abbreviations**

- AI: Artificial Intelligence
- AI RMF: Artificial Intelligence Risk Management Framework
- GAI: Generative AI
- RMF: Risk Management Framework

[1] NIST AI. Artificial Intelligence Risk Management Framework (AI RMF 1.0). 2023.

# Appendix A: Example Generative AI–Trustworthy Characteristic Crosswalk

## 6.1 A.1: Trustworthy Characteristic to Generative AI Risk Crosswalk

Table 1: Trustworthy Characteristic to Generative AI Risk Crosswalk.

Accountable and Transparent	Explainable and Interpretable	Fair with Harmful Bias Managed	Privacy Enhanced
Data Privacy Environmental Human-AI Configuration Information Integrity Intellectual Property Value Chain and Component Integration	Human-AI Configuration Value Chain and Component Integration	Confabulation Environmental Human-AI Configuration Intellectual Property Obscene, Degrading, and/or Abusive Content Toxicity, Bias, and Homogenization Value Chain and Component Integration	Data Privacy Human-AI Configuration Information Security Intellectual Property Value Chain and Component Integration

  

Safe	Secure and Resilient	Valid and Reliable
CBRN Information Confabulation Dangerous or Violent Recommendations Data Privacy Environmental Human-AI Configuration Information Integrity Information Security Obscene, Degrading, and/or Abusive Content Value Chain and Component Integration	Dangerous or Violent Recommendations Data Privacy Human-AI Configuration Information Security Value Chain and Component Integration	Confabulation Human-AI Configuration Information Integrity Information Security Toxicity, Bias, and Homogenization Value Chain and Component Integration

## 6.2 A.2: Generative AI Risk to Trustworthy Characteristic Crosswalk

Table 2: Generative AI Risk to Trustworthy Characteristic Crosswalk.

CBRN Information	Confabulation	Dangerous or Violent Recommendations	Data Privacy
Safe	Fair with Harmful Bias Managed Safe Valid and Reliable	Safe Secure and Resilient	Accountable and Transparent Privacy Enhanced Safe Secure and Resilient
Environmental	Human-AI Configuration	Information Integrity	Information Security
Accountable and Transparent Fair with Harmful Bias Managed Safe	Accountable and Transparent Explainable and Interpretable Fair with Harmful Bias Managed Privacy Enhanced Safe Secure and Resilient Valid and Reliable	Accountable and Transparent Safe Valid and Reliable	Privacy Enhanced Safe Secure and Resilient Valid and Reliable
Intellectual Property	Obscene, Degrading, and/or Abusive Content	Toxicity, Bias, and Homogenization	Value Chain and Component Integration
Accountable and Transparent Fair with Harmful Bias Managed Privacy Enhanced	Fair with Harmful Bias Managed Safe	Fair with Harmful Bias Managed Valid and Reliable	Accountable and Transparent Explainable and Interpretable Fair with Harmful Bias Managed Privacy Enhanced Safe Secure and Resilient Valid and Reliable

## Appendix B: Example Risk Tiers for Generative AI

## Appendix C: List of Publicly Available Model Testing Suites (“Evals”)

### C.1: Publicly Available Model Testing Suites (“Evals”) by Trustworthy Characteristic

Table 3: Publicly Available Model Testing Suites (“Evals”) by Trustworthy Characteristic.

Accountable and Transparent
An Evaluation on Large Language Model Outputs: Discourse and Memorization (see Appendix B) Big-bench: Truthfulness DecodingTrust: Machine Ethics Evaluation Harness: ETHICS HELM: Copyright Mark My Words
Fair with Harmful Bias Managed
BELEBELE Big-bench: Low-resource language, Non-English, Translation Big-bench: Social bias, Racial bias, Gender bias, Religious bias Big-bench: Toxicity DecodingTrust: Fairness DecodingTrust: Stereotype Bias DecodingTrust: Toxicity C-Eval (Chinese evaluation suite) Evaluation Harness: CrowS-Pairs Evaluation Harness: ToxiGen Finding New Biases in Language Models with a Holistic Descriptor Dataset From Pretraining Data to Language Models to Downstream Tasks: Tracking the Trails of Political Biases Leading to Unfair NLP Models HELM: Bias HELM: Toxicity MT-bench The Self-Perception and Political Biases of ChatGPT Towards Measuring the Representation of Subjective Global Opinions in Language Models
Privacy Enhanced
HELM: Copyright llmprivacy mimir
Safe
Big-bench: Convince Me Big-bench: Truthfulness HELM: Reiteration, Wedging Mark My Words MLCommons The WMDP Benchmark

Publicly Available Model Testing Suites (“Evals”) by Trustworthy Characteristic (continued).

Secure and Resilient
Catastrophic Jailbreak of Open-source LLMs via Exploiting Generation DecodingTrust: Adversarial Robustness, Robustness Against Adversarial Demonstrations detect-pretrain-code In-The-Wild Jailbreak Prompts on LLMs JailbreakingLLMs llmprivacy mimir TAP: A Query-Efficient Method for Jailbreaking Black-Box LLMs
Valid and Reliable
Big-bench: Algorithms, Logical reasoning, Implicit reasoning, Mathematics, Arithmetic, Algebra, Mathematical proof, Fallacy, Negation, Computer code, Probabilistic reasoning, Social reasoning, Analogical reasoning, Multi-step, Understanding the World Big-bench: Analytic entailment, Formal fallacies and syllogisms with negation, Entailed polarity Big-bench: Context Free Question Answering Big-bench: Contextual question answering, Reading comprehension, Question generation Big-bench: Morphology, Grammar, Syntax Big-bench: Out-of-Distribution Big-bench: Paraphrase Big-bench: Sufficient information Big-bench: Summarization DecodingTrust: Out-of-Distribution Robustness, Adversarial Robustness, Robustness Against Adversarial Demonstrations Eval Gauntlet: Reading comprehension Eval Gauntlet: Commonsense reasoning, Symbolic problem solving, Programming Eval Gauntlet: Language Understanding Eval Gauntlet: World Knowledge Evaluation Harness: BLiMP Evaluation Harness: CoQA, ARC Evaluation Harness: GLUE Evaluation Harness: HellaSwag, OpenBookQA, TruthfulQA Evaluation Harness: MuTual Evaluation Harness: PIQA, PROST, MC-TACO, MathQA, LogiQA, DROP FLASK: Logical correctness, Logical robustness, Logical efficiency, Comprehension, Completeness FLASK: Readability, Conciseness, Insightfulness HELM: Knowledge HELM: Language HELM: Text classification HELM: Question answering HELM: Reasoning HELM: Robustness to contrast sets HELM: Summarization Hugging Face: Fill-mask, Text generation - Benchmarking Hugging Face: Question answering Hugging Face: Summarization Hugging Face: Text classification, Token classification, Zero-shot classification MASSIVE MT-bench

## C.2: Publicly Available Model Testing Suites (“Evals”) by Generative AI Risk

Table 4: Publicly Available Model Testing Suites (“Evals”) by Generative AI Risk.

CBRN Information
Big-bench: Convince Me
Big-bench: Truthfulness
HELM: Reiteration, Wedging
MLCommons
The WMDP Benchmark
Confabulation
BELEBELE
Big-bench: Algorithms, Logical reasoning, Implicit reasoning, Mathematics, Arithmetic, Algebra, Mathematical proof, Fallacy, Negation, Computer code, Probabilistic reasoning, Social reasoning, Analogical reasoning, Multi-step, Understanding the World
Big-bench: Analytic entailment, Formal fallacies and syllogisms with negation, Entailed polarity
Big-bench: Context Free Question Answering
Big-bench: Contextual question answering, Reading comprehension, Question generation
Big-bench: Convince Me
Big-bench: Low-resource language, Non-English, Translation
Big-bench: Morphology, Grammar, Syntax
Big-bench: Out-of-Distribution
Big-bench: Paraphrase
Big-bench: Sufficient information
Big-bench: Summarization
Big-bench: Truthfulness
C-Eval (Chinese evaluation suite)
DecodingTrust: Out-of-Distribution Robustness, Adversarial Robustness, Robustness Against Adversarial Demonstrations
Eval Gauntlet Reading comprehension
Eval Gauntlet: Commonsense reasoning, Symbolic problem solving, Programming
Eval Gauntlet: Language Understanding
Eval Gauntlet: World Knowledge
Evaluation Harness: BLiMP
Evaluation Harness: CoQA, ARC
Evaluation Harness: GLUE
Evaluation Harness: HellaSwag, OpenBookQA, TruthfulQA
Evaluation Harness: MuTual
Evaluation Harness: PIQA, PROST, MC-TACO, MathQA, LogiQA, DROP
FLASK: Logical correctness, Logical robustness, Logical efficiency, Comprehension, Completeness
FLASK: Readability, Conciseness, Insightfulness
Finding New Biases in Language Models with a Holistic Descriptor Dataset
HELM: Knowledge
HELM: Language
HELM: Language (Twitter AAE)
HELM: Question answering
HELM: Reasoning
HELM: Reiteration, Wedging
HELM: Robustness to contrast sets
HELM: Summarization
HELM: Text classification
Hugging Face: Fill-mask, Text generation
Hugging Face: Question answering
Hugging Face: Summarization
Hugging Face: Text classification, Token classification, Zero-shot classification
MASSIVE
MLCommons
MT-bench

Publicly Available Model Testing Suites (“Evals”) by Generative AI Risk (continued).

Dangerous or Violent Recommendations
Big-bench: Convince Me
Big-bench: Toxicity
DecodingTrust: Adversarial Robustness, Robustness Against Adversarial Demonstrations
DecodingTrust: Machine Ethics
DecodingTrust: Toxicity
Evaluation Harness: ToxiGen
HELM: Reiteration, Wedging
HELM: Toxicity
MLCommons
Data Privacy
An Evaluation on Large Language Model Outputs: Discourse and Memorization (with human scoring, see Appendix B)
Catastrophic Jailbreak of Open-source LLMs via Exploiting Generation
DecodingTrust: Machine Ethics
Evaluation Harness: ETHICS
HELM: Copyright
In-The-Wild Jailbreak Prompts on LLMs
JailbreakingLLMs
MLCommons
Mark My Words
TAP: A Query-Efficient Method for Jailbreaking Black-Box LLMs
detect-pretrain-code
llmprivacy
mimir
Environmental
HELM: Efficiency
Information Integrity
Big-bench: Analytic entailment, Formal fallacies and syllogisms with negation, Entailed polarity
Big-bench: Convince Me
Big-bench: Paraphrase
Big-bench: Sufficient information
Big-bench: Summarization
Big-bench: Truthfulness
DecodingTrust: Machine Ethics
DecodingTrust: Out-of-Distribution Robustness, Adversarial Robustness, Robustness Against Adversarial Demonstrations
Eval Gauntlet: Language Understanding
Eval Gauntlet: World Knowledge
Evaluation Harness: CoQA, ARC
Evaluation Harness: ETHICS
Evaluation Harness: GLUE
Evaluation Harness: HellaSwag, OpenBookQA, TruthfulQA
Evaluation Harness: MuTual
Evaluation Harness: PIQA, PROST, MC-TACO, MathQA, LogiQA, DROP
FLASK: Logical correctness, Logical robustness, Logical efficiency, Comprehension, Completeness
FLASK: Readability, Conciseness, Insightfulness
HELM: Knowledge
HELM: Language
HELM: Question answering
HELM: Reasoning
HELM: Reiteration, Wedging
HELM: Robustness to contrast sets
HELM: Summarization
HELM: Text classification
Hugging Face: Fill-mask, Text generation
Hugging Face: Question answering
Hugging Face: Summarization
MLCommons
MT-bench
Mark My Words

Publicly Available Model Testing Suites (“Evals”) by Generative AI Risk (continued).

Information Security
Big-bench: Convince Me Big-bench: Out-of-Distribution Catastrophic Jailbreak of Open-source LLMs via Exploiting Generation DecodingTrust: Out-of-Distribution Robustness, Adversarial Robustness, Robustness Against Adversarial Demonstrations Eval Gauntlet: Commonsense reasoning, Symbolic problem solving, Programming HELM: Copyright In-The-Wild Jailbreak Prompts on LLMs JailbreakingLLMs Mark My Words TAP: A Query-Efficient Method for Jailbreaking Black-Box LLMs detect-pretrain-code llmprivacy mimir
Intellectual Property
An Evaluation on Large Language Model Outputs: Discourse and Memorization (with human scoring, see Appendix B) HELM: Copyright Mark My Words llmprivacy mimir
Obscene, Degrading, and/or Abusive Content
Big-bench: Social bias, Racial bias, Gender bias, Religious bias Big-bench: Toxicity DecodingTrust: Fairness DecodingTrust: Stereotype Bias DecodingTrust: Toxicity Evaluation Harness: CrowS-Pairs Evaluation Harness: ToxiGen HELM: Bias HELM: Toxicity
Toxicity, Bias, and Homogenization
BELEBELE Big-bench: Low-resource language, Non-English, Translation Big-bench: Out-of-Distribution Big-bench: Social bias, Racial bias, Gender bias, Religious bias Big-bench: Toxicity C-Eval (Chinese evaluation suite) DecodingTrust: Fairness DecodingTrust: Stereotype Bias DecodingTrust: Toxicity Eval Gauntlet: World Knowledge Evaluation Harness: CrowS-Pairs Evaluation Harness: ToxiGen Finding New Biases in Language Models with a Holistic Descriptor Dataset From Pretraining Data to Language Models to Downstream Tasks: Tracking the Trails of Political Biases Leading to Unfair NLP Models HELM: Bias HELM: Toxicity The Self-Perception and Political Biases of ChatGPT Towards Measuring the Representation of Subjective Global Opinions in Language Models



## **Appendix D: List of Common Adversarial Prompting Strategies**

**D.1: Common Adversarial Prompting Strategies by Trustworthy Characteristic**

**D.2: Common Adversarial Prompting Strategies by Generative AI Risk**

## **Appendix E: Common Risk Controls for Generative AI**

**E.1: Common Risk Controls for Generative AI by Trustworthy Characteristic**

**E.2: Common Risk Controls for Generative AI by Generative AI Risk**

## **Appendix F: Example Low-risk Generative AI Measurement and Management Plan**

**6.3 F.1: Example Low-risk Generative AI Measurement and Management Plan by Trustworthy Characteristic**

**6.4 F.2: Example Low-risk Generative AI Measurement and Management Plan by Generative AI Risk**

## **Appendix G: Example Medium-risk Generative AI Measurement and Management Plan**

**6.5 G.1: Example Medium-risk Generative AI Measurement and Management Plan by Trustworthy Characteristic**

**6.6 G.2: Example Medium-risk Generative AI Measurement and Management Plan by Generative AI Risk**

## **Appendix H: Example High-risk Generative AI Measurement and Management Plan**

**6.7 H.1: Example High-risk Generative AI Measurement and Management Plan by Trustworthy Characteristic**

**6.8 H.2: Example High-risk Generative AI Measurement and Management Plan by Generative AI Risk**